

# California Emergency Management Agency



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## FY09 Homeland Security Grant Program

### *California Supplement to Federal Program Guidance and Application Kit*

May 14, 2009

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## FOREWORD: SECRETARY'S MESSAGE

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I wanted to take this opportunity to introduce you to California's newest state agency, the California Emergency Management Agency (CalEMA). California continues to be a national leader in homeland security and emergency management and the fusion of the talents, capabilities and resources of the Office of Emergency Services (OES) and the Office of Homeland Security (OHS) has been a long time coming. Each of us around the state, with our different roles in California's emergency management, are partners in this new endeavor and I look forward to working with everyone again this year.

Despite changes within our agency, we remain steadfast to the four mission areas of the Homeland Security Grant Program: prevent, prepare, respond and recover. I am pleased to report major progress across the board – from developing training courses and strengthening information sharing capabilities to assessing security and bolstering response capabilities. The work we have done with this program has made significant progress to ensure the security of our citizens, critical infrastructure, and key resources. To continue that progress, I am pleased to present the FY2009 California Supplement to the Federal Guidance.

As you review the guide, you will see that there are various changes while several aspects remain the same. I realize that the changes in the rules and guidance require a lot of effort, but in the end this program is an important and integral component in the safety of California. Throughout the duration of the grant, CalEMA program representatives will be available to assist you in enhancing your homeland security programs. Please don't hesitate to contact them with any questions or concerns.

Let me close by thanking all of you involved in this program for the work that you do to make sure we wisely invest these valuable funds. It is your excellent contributions and achievement of objectives that have made California a better place to live and do business; California communities are safer, we have more trained and equipped first responders, and we continue to move forward with a number of important initiatives. The people of California owe you a debt of gratitude for your tireless efforts and I know they can count on you to continue to utilize the opportunities that come with the FY2009 HSGP.



MATTHEW R. BETTENHAUSEN  
Secretary  
California Emergency Management Agency

## SECTION 1 – OVERVIEW

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<b>Federal Program Guidance</b>	<p>The U.S. Department of Homeland Security (DHS) published the <i>FY09 Homeland Security Grant Program, Program Guidance and Application Kit</i> on November 5, 2008. The Guidance and Application Kit may be obtained at:</p> <p><a href="http://www.ohs.ca.gov/pdf/fy09_fed_guidance.pdf">http://www.ohs.ca.gov/pdf/fy09_fed_guidance.pdf</a></p>
<b>Information Bulletins</b>	<p>DHS also issues Information Bulletins that provide updates, clarification, and requirements throughout the life of the grant. Information Bulletins may be obtained at:</p> <p><a href="http://www.ojp.usdoj.gov/odp/docs/bulletins.htm">http://www.ojp.usdoj.gov/odp/docs/bulletins.htm</a></p>
<b>Purpose of the California Supplement</b>	<p>The <i>California Supplement to the Federal Program Guidance</i> is intended to complement, rather than replace, the Guidance published by DHS. The Supplement will emphasize the differences between the FY08 and FY09 Homeland Security Grant Programs (HSGP), and will include additional California policies and requirements applicable to the FY09 HSGP.</p>
<b>Grant Management Memos</b>	<p>CalEMA also issues Grant Management Memos (GMM) that provide additional information. GMMs can be located at:</p> <p><a href="http://homeland.ca.gov/grants_management_memo.html">http://homeland.ca.gov/grants_management_memo.html</a></p>
<b>Eligible Subgrantees</b>	<p>Eligible subgrant recipients, referred to as Subgrantees, differ for each program. Generally, eligible subgrant recipients include:</p> <ul style="list-style-type: none"><li>• <b>Operational Areas (OA)</b><ul style="list-style-type: none"><li>○ <b>Includes the Metropolitan Medical Response System (MMRS)</b></li><li>○ <b>Native American Tribes – represented by a single coordinating group</b></li></ul></li><li>• <b>Urban Area Security Initiative Jurisdictions (UASI)</b></li><li>• <b>State Agencies (SA)</b><ul style="list-style-type: none"><li>○ <b>Includes the Citizen Corps Program (CCP)</b></li></ul></li></ul>
<b>Native American Allocation</b>	<p>Federal FY09 grant guidance requires CalEMA to provide access to the SHSGP funds directly to Native American Tribes in California. In order for CalEMA to implement this requirement, a single coordinating group representing the California tribes will be eligible to receive a share of this funding on a base plus population basis. In order to submit an application for funding, California's 108 tribes shall develop a single coordinating group that represents all or substantially all of the tribes. The single coordinating group shall have until November 7, 2009 to submit to CalEMA its membership, organizational structure and plan for developing coordinated funding priorities among all or substantially all of the California Tribes. All subgrantees are encouraged to coordinate with Tribal Governments to ensure that Tribal needs are considered in the subgrantees applications.</p>

<b>Subgrantee Allocations</b>	It is anticipated that DHS's announcement of funding to California will be made on June 17, 2009. Subgrantee allocation information will be made available afterwards via a CalEMA Grant Management Memo (GMM).
<b>Supplanting</b>	Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated for the same purpose. Subgrantees will be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.
<b>Public/Private Organizations</b>	Subgrantees may contract with any other public or private organizations to perform eligible activities on approved projects
<b>Debarred/ Suspended Parties</b>	Subgrantees must not make or permit any award (subgrant or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for, participation in Federal assistance programs. Subgrantees must obtain documentation of eligibility prior to any subaward of HSGP funds and be prepared to present supporting documentation to monitors.
<b>CalEMA Contact Information</b>	<p>All subgrantee application materials, related questions, comments and correspondence should be directed to:</p> <p style="text-align: center;">California Emergency Management Agency ATTN: Grants Management Division State Capitol Sacramento, CA 95814</p> <p>CalEMA Main Phone Line: (916) 845-8510 Fax: (916) 324-5902</p> <p>California Emergency Management Website: <a href="http://www.calema.ca.gov">http://www.calema.ca.gov</a></p> <p>For additional assistance, please contact your regional representative: Cameron Bardwell at <a href="mailto:cameron.bardwell@ohs.ca.gov">cameron.bardwell@ohs.ca.gov</a> or (916) 322-8740 Tracey Frazier at <a href="mailto:tracey.frazier@ohs.ca.gov">tracey.frazier@ohs.ca.gov</a> or (916) 324-6342 Maybel Garing at <a href="mailto:maybel.garing@ohs.ca.gov">maybel.garing@ohs.ca.gov</a> or (916) 324-9312 Sarah Knight at <a href="mailto:sarah.knight@ohs.ca.gov">sarah.knight@ohs.ca.gov</a> or (916) 322-9067 Leo LaMattina at <a href="mailto:leo.lamattina@ohs.ca.gov">leo.lamattina@ohs.ca.gov</a> or (916) 324-6347 Rachel Magaña at <a href="mailto:rachel.magana@ohs.ca.gov">rachel.magana@ohs.ca.gov</a> or (916) 324-9314</p> <p>CalEMA regional representatives may be located on the regional map at: <a href="http://www.ohs.ca.gov/pdf/homeland_security_regional_map.pdf">http://www.ohs.ca.gov/pdf/homeland_security_regional_map.pdf</a></p>

**CalEMA  
Contact  
Information  
(Cont.)**

CalEMA Training Website:  
<http://www.ohs.ca.gov/hseep/traininghome.html>

The 2009 HSGP Financial Management Forms Workbook (FMFW)  
Version 1.09:  
[http://www.ohs.ca.gov/FY2009\\_HSGP.html](http://www.ohs.ca.gov/FY2009_HSGP.html)

**ODP Secure  
Portal**

To obtain access to the Office of Domestic Preparedness (ODP) secure portal, please contact BJ Bjornson, Secure Portal Administrator, CalEMA, Training and Exercise Program (T&E) at [bj.bjornson@ohs.ca.gov](mailto:bj.bjornson@ohs.ca.gov) or (916) 826-4488.

The ODP Secure Portal may be obtained at:  
<http://preparednessportal.dhs.gov/>

**Grants  
Reporting Tool**

To obtain access to the online Grants Reporting Tool (GRT), please log on to their website at [www.reporting.odp.dhs.gov](http://www.reporting.odp.dhs.gov). To create a new account, follow the instructions that read, "If you need to register for an account, please click here."

For additional assistance with the GRT, please contact:  
Inam Ali at [inam.ali@ohs.ca.gov](mailto:inam.ali@ohs.ca.gov) or (916) 324-6054  
Sabra Bowen at [sabra.bowen@ohs.ca.gov](mailto:sabra.bowen@ohs.ca.gov) or (916) 324-9315  
Rose Nguyen at [rose.nguyen@ohs.ca.gov](mailto:rose.nguyen@ohs.ca.gov) or (916) 322-2607  
Akira Yamamoto at [akira.yamamoto@ohs.ca.gov](mailto:akira.yamamoto@ohs.ca.gov) or (916) 322-2643

## SECTION 2 – KEY CHANGES AND INITIATIVES

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### Federal Changes and Initiatives

#### **FEDERAL**

##### ***HSGP Priorities***

Priorities for this year continue to further narrow the focus through the risk-based funding and the capability-based planning process. FY09 HSGP (State Homeland Security Program [SHSP], Urban Areas Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) will focus on the following objectives as highest priorities:

- Addressing Capability Requirements and Measuring Progress in Achieving the National Preparedness Guidelines
- Strengthen Preparedness Planning and Citizen Preparedness Capabilities
- Strengthen Chemical, Biological, Radiological/Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities:
- Strengthen Information Sharing and Collaboration Capabilities via the National Network of Fusion Centers
- Strengthen Medical Surge and Mass Prophylaxis

**At least 25% of FY09 HSGP funding**, must be collectively allocated to the Strengthening Preparedness Planning Priority through planning, training and exercise activities (see Part I of the DHS FY09 HSGP Guidance for additional information).

**At least 25% of FY09 HSGP funding** must be dedicated to law enforcement-oriented planning, organization, training, exercise, and equipment activities(see Part I of the DHS FY09 HSGP Guidance for additional information).

**Personnel Costs** – As directed by the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act*, all personnel and personnel-related costs, including those for intelligence analysts and consultants, are allowed up to 50% of SHSP and UASI funding without time limitation placed on the period of time that such personnel can serve under the grant. These guidelines are not retroactive to previous fiscal years of HSGP funding (see Part IV.E.4 of the DHS FY09 HSGP Guidance for additional information).

**Critical Emergency Supplies** – In furtherance of DHS’s mission, critical emergency supplies, such as shelf stable food products, water, and basic medical supplies are an allowable expense under FY09 SHSP.

Subgrantees must provide CalEMA with a viable inventory management plan, an effective distribution strategy, sustainment costs for such an effort, and logistics expertise to avoid situations where funds are wasted because supplies are rendered ineffective due to lack of planning.



## State Changes and Initiatives

### **STATE**

**State Initiative Funding** – In FY09 HSGP, CalEMA shall retain 20% of the SHSP, UASI funding awarded to California for state initiatives. The State will pass 100% of the MMRS and CCP funding to eligible subgrantees.

**"On Behalf Of"** – Consistent with the federal guidelines, the CalEMA may, in conjunction with local approval authorities, designate funds "on behalf of" local entities that choose to decline or fail to utilize their homeland security award in a timely manner.

**Regional Approach** – Subgrantees must take a regional approach when determining the best use of FY09 HSGP funds. Subgrantees must consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY09 HSGP application.

**Grant Management Capabilities** – FY09 Applicants will be required to document their grant management capabilities and include this information with their application.

**Special Needs Population** – Populations whose members may have additional access and functional needs before, during, and after an incident must be included in planning, response and recovery documents. As a new requirement for FY09 funding, subgrantees are required to provide the name, title and contact information for their local person responsible for coordinating access and functional needs of these populations in planning, response and recovery, and submit the information as part of their application for HSGP funding.

**Planning Projects** – Subgrantees conducting major planning projects (including, but not limited to: Evacuation, Mass Care and Shelter, Disaster Recovery, etc.) will be required to address access and functional needs within their planning documents in order to maintain eligibility for HSGP funding. For more information, the following link is provided:  
[Guidance on Planning and Responding to the Needs of People with Disabilities and Older Adults](#)

**Strategy, Planning, and Metrics Conference** – CalEMA will conduct its annual Investment Justification Planning Conference to receive statewide input across all disciplines. The conference will be held in the Fall of 2009. This conference is an eligible planning activity. Please be sure to include the cost to attend this conference in your FY09 HSGP application.

## State Changes and Initiatives (Cont.)

### **Training Requirement – Not less than 10% of all subgrantee applications must be allocated to FEMA approved training activities.**

However, training on equipment will continue to be allowed as part of the 10%. Further, per the Federal Guidance, training conducted using HSGP funds should address a performance gap identified through an After Action Report/Improvement Plan (AAR/IP) or contribute to building a capability that will be evaluated through an exercise. Subgrantees will explain in a narrative the gap identified, provide access to the AAR or details of the upcoming exercise, and submit to their CalEMA Program Representative.

**Note:** This does not apply to State Agencies.

### **Non-DHS/FEMA Developed Training Courses**

When seeking DHS approval of non-DHS/FEMA developed courses, the most notable changes are:

- Course materials must be submitted with the approval requests; and
- Conditional approvals are no longer offered.

The CalEMA Training and Exercise Program (T&E) will release additional training related information at a later date.

**Exercises** – Subgrantees must conduct threat and performance-based exercises in accordance with DHS Homeland Security Exercise and Evaluation Program (HSEEP) manuals. Once a grant funded exercise has been scheduled, subgrantees **must** notify the CalEMA T&E of the exercise date, time, location, and point of contact information. T&E will maintain a web-based master schedule of all exercises occurring throughout the state, to increase communication and coordination of all exercises. Exercise AAR/IPs must be posted to the Corrective Action Plan System (CAPS) within 60 days following the completion of each exercise.

For more information on this process, please contact:  
Kevin Chan at (916) 324-6736 or [kevin.chan@ohs.ca.gov](mailto:kevin.chan@ohs.ca.gov).

**Exercise costs will not be reimbursed until an AAR has been posted and access to the AAR has been granted to Rachel Magaña.**

Rachel can be reached at (916) 324-9314 or [rachel.magana@ohs.ca.gov](mailto:rachel.magana@ohs.ca.gov).

**Note:** Urban Areas are required to develop a Multi-year Training and Exercise Plan and submit it to FEMA on an annual basis. Subgrantees must provide a copy to their CalEMA Program Representative.

**State Changes  
and Initiatives  
(Cont.)**

**Golden Guardian** – Subgrantees scheduled to participate in Golden Guardian (GG) exercise activities should program FY09 HSGP funds into their subgrant application. CalEMA Program Representatives will be checking applications from subgrantees scheduled to participate in GG activities within the FY09 HSGP grant performance period for adequate exercise funding. T&E is the subgrantee's point of contact for exercise related issues and questions.

Subgrantees may contact T&E at (916) 826-4488 or [bj.bjornson@ohs.ca.gov](mailto:bj.bjornson@ohs.ca.gov).

**Terrorism Liaison Officer (TLO)** – In an effort to continue to build towards a comprehensive integrated prevention network of information sharing, all recipients of FY09 Homeland Security Grant funds will be required to designate a trained TLO within their organization. An initial roster must be submitted at the time of application. Subgrantees must require documentation for their subrecipients prior to the subaward of Homeland Security Grant funds, which needs to be available during a monitoring.

**CAL JRIES** – The State Terrorism Threat Assessment Center (STTAC) and Regional Terrorism Threat Assessment Centers (RTTAC) are all linked by a common information sharing system, the California Joint Regional Information Exchange System (CAL JRIES), which provides data sharing capabilities throughout the state. The JRIES is an integral component in the information sharing network throughout the state. Applicants shall document CAL JRIES access, or an application for access to CAL JRIES, in their grant application to be eligible for funding. Access or an application for access will be confirmed with the STTAC prior to final application approval.

**M&A Costs** – The subgrantee Management and Administrative (M&A) allowance is a maximum of 3% of the subgrant award on all FY09 HSGP programs (The cap was set by federal law).

## SECTION 3 – SUBGRANTEE APPLICATIONS

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### Required State Application Components

A completed application will include all of the following components:

- The CalEMA Financial Management Forms Workbook (FMFW) Version 1.09 including:
    - Application Cover Sheet
    - Grant Management Roster
    - Project Descriptions
      - Investment Justification - Goals and Objectives
      - Project Description
      - Need for Project
      - Status of Project
    - Project Ledger
    - Equipment Inventory Ledger
      - Authorized Equipment List (AEL) numbers found on the web at <http://www.rkb.us>
    - Training Roster
      - Course approved feedback numbers
    - Exercise Roster
    - Planning Ledger
      - Final product identified
    - Authorized Agent form with appropriate signatures
  - Terrorism Liaison Officer (TLO) Roster
  - CAL JRIES Access
  - Narrative Explanation of 25% Preparedness Planning
  - Narrative Explanation of 25% Law Enforcement
  - Narrative of Training with AAR/Exercise Detail
  - Narrative of Special Needs Populations
  - Certified Copy of the Governing Body Resolution
  - Signed Original Grant Assurances
- (A checklist for application completeness can be found in the appendix)

### Governing Body Resolution

The *Governing Body Resolution* appoints agents authorized to execute any actions necessary for each application and subgrant. All applicants will be required to submit a certified copy of a new Governing Body Resolution with their FY09 HSGP application. A sample Resolution can be found in the Appendix.

### Grant Assurances

The *Grant Assurances* list the requirements to which the subgrantees will be held accountable. All applicants will be required to submit new Grant Assurances with their FY09 HSGP application. The required Grant Assurances form can be found only in PDF format on the CalEMA website and will be available within 14 days of the Federal award.

**Note:** Self created Grant Assurances will not be accepted.

**Approval  
Authority Body  
(OA only)**

Operational Areas must appoint an Anti-Terrorism Approval Body (Approval Authority) to have final approval of the OA's application for SHSGP funds. The Approval Authority shall consist of the following representatives, and additional voting members may be added by a simple majority vote of the following standing members:

- County Public Health Officer or designee responsible for Emergency Medical Services
- County Fire Chief or Chief of Fire Authority
- Municipal Fire Chief (selected by the Operational Area Fire Chiefs)
- County Sheriff
- Chief of Police (selected by the Operational Area Police Chief)

Each member of the Approval Authority must provide written agreement with the OA's application for SHSGP funds.

**Note:** A list of the Approval Authority Body members, and associated contact information must be submitted with the FY09 HSGP application. Contact your program representative for more information.

**Application  
Submittal**

The completed FMFW V 1.09 must be submitted electronically via posting to the ODP Secure Portal (<http://preparednessportal.dhs.gov/>) marked "FY09 HSGP Application". Detailed instructions on the electronic submittal process will be issued in a CalEMA Grant Management Memo prior to application due date.

Documents requiring an original signature will need to be mailed in hardcopy. [Signatures will need to be in blue ink only.](#)

**HAND DELIVERED APPLICATIONS WILL NOT BE ACCEPTED**

**Late or  
Incomplete  
Applications**

All application materials are due no later than **Friday, July 17, 2009\***. Only applications postmarked by the due date will be accepted. Applications lost in transit are the responsibility of the applicant and will not be considered for funding. Late or incomplete applications will be reviewed and/or denied, and additional information will be requested and/or accepted from subgrantees, at the sole discretion of CalEMA.

**Application  
Approval**

The subgrantee will receive written notice of the state's approval of the subgrant application no later than 45 days after the federal grant award. Subgrantee reimbursements will not be made until all required application components have been approved by the state and all conditional holds removed.

**\* See Timeline in Appendix**

## State Agencies

### Which State organizations may apply?

Any state agency, department, commission, board, etc., may apply for FY09 HSGP funding, as long as the organization:

- Has, or can obtain, appropriate state Department of Finance budget authority for awarded funds; and,
- Will comply with all grant requirements contained in the federal and state grant guidance documents, and in the Grant Assurances form.

### Who may sign the Application for a State Agency?

The application cover sheet must be signed, [in blue ink](#), by the highest-level person at the state organization, or their designee. If a designee is signing, the highest-level person at the state organization must execute and submit a Signature Authority form with the Application Package.

**Note:** The requirement for the creation of an Approval Authority body or a Governing Body Resolution does not apply to state organizations.

### What are the State Priorities for FY09 HSGP?

While the State Homeland Security Strategy broadly describes goals, objectives and implementation steps, the State's priorities for FY09 HSGP are:

- (1) Interoperable Communications
- (2) Catastrophic Planning
- (3) Medical Surge
- (4) Citizen Preparedness and Participation
- (5) Mass Prophylaxis
- (6) Critical Infrastructure Protection
- (7) Training for First Responders
- (8) Food and Agricultural Safety

**Project Narrative** – In addition to the project description in the Financial Management Forms Workbook, a detailed project narrative (included in the Appendix) is required.

## SECTION 4 – POST AWARD REQUIREMENTS

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### Post Award Modifications

Post award budget, scope and time modifications must be requested using the CalEMA Financial Management Forms Workbook V 1.09, signed by the subgrantee's Authorized Agent, and submitted to the subgrantee's Program Representative in the Homeland Security Grant Unit at CalEMA.

The subgrantee may implement the modifications, and incur associated expenses, only after receiving written final approval of the modification from the State. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

**Note:** Modifications can be requested once per quarter during the grant performance period.

### Payment Request Process

To request advance or reimbursement payment of FY09 HSGP funds, complete a payment request form using the CalEMA Financial Management Forms Workbook and return it to the appropriate Program Representative in the Homeland Security Grant Unit at the CalEMA. Subgrantees who fail to follow the workbook instructions will experience delays in processing.

**Note:** Payments can only be made if the subgrantee has submitted an approved application, including the Financial Management Forms Workbook (FMFW), a certified copy of the Governing Body Resolution, and valid Grant Assurances form.

### Advances and Interest Earned on Advances

DHS allows subgrantees to request FY09 HSGP funds up to 120 days prior to expenditure/disbursement, or on a reimbursement basis. The federal guide requires that advances must be deposited in interest-bearing accounts, and describes how interest earned should be returned quarterly to the federal government.

In addition to returning interest in accordance with the prescribed federal guidance, subgrantees must also inform the grantee's Program Representative in the Homeland Security Grant Unit at the CalEMA of any interest returned on program funds.

### Performance Bond

Many subgrantees were unable to procure large equipment items due to problems with vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, DHS allowed subgrantees to obtain a "performance bond" wherein subgrantees procured the item(s) in question, paid the money up front, and obtained a performance bond to ensure delivery of the item within 90 days of the subgrantees performance period. Subgrantees **must** obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft or watercraft, financed with homeland security dollars.

**Subgrantee  
Performance  
Reports**

Subgrantees must prepare and submit performance reports to the state for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by CalEMA. Subgrantees must complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT)  
<http://www.reporting.odp.dhs.gov>.

**Failure to  
Submit  
Required  
Reports**

**Periodic reporting is required by the grant. Subgrantees who miss a single reporting deadline may receive a letter addressed to their Board of Supervisors informing them of the failure to report. County Operational Areas and Tribal Native Americans who fail to report twice in a row may have subsequent awards reduced by 10% until timely reporting is reestablished. UASI's shall have a "hold" placed on any future reimbursements.**

**Monitoring  
Subgrantee  
Performance**

**Corrective Action Plans** – The Monitoring and Audits Unit (MAU) is actively conducting monitoring visits, both desk review and on-site, among subgrantees. Many of these jurisdictions receive "findings" that necessitate a Corrective Action Plan (CAP) on their part. Those subgrantees who fail to submit a CAP as required shall have a "hold" placed on any future reimbursements until the "finding" is resolved.

The state is currently conducting a program of sub-grantee monitoring. The monitoring will be conducted on the subgrantees administrative, programmatic and fiscal management of the grant(s).

**These reviews may include, but are not limited to:**

- Eligibility of expenditures.
- Comparing actual subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  - Grant Assurances; Information provided on performance reports and payment requests; and Needs and threat assessment and strategies.

**Note:** It is the responsibility of all subgrantees to monitor and audit the grant activities of their subrecipients. This requirement includes, but is not limited to, on site verification of grant activities as required.



## **Suspension/ Termination**

The State may suspend or terminate subgrant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- False certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients.

Before taking action, the state will provide the subgrantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

## **Closeout**

The State will close a subgrantee award after:

- Receiving a subgrantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information;
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the subgrantee:

- is owed additional funds, the State will send the final payment automatically to the subgrantee.
- did not use all funds received, the state will issue an Invoice or Grant Modification letter to recover unused funds.

In the Grant Closeout Letter, the State will notify the subgrantee of the start of the record retention period for all programmatic and financial grant related records.

**Note:** Failure to maintain all grant records for the required retention period could result in a reduction of grant funds, and an invoice to return costs associated with the unsupported activities.

## **SECTION 5 – APPENDICES**

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## **APPENDIX A- FY09 HSGP TIMELINE**

DHS Announcement of FY09 HSGP	November 5, 2008
SAA Application Due to DHS	March 20, 2009
FY09 HSGP California Supplement Release	May 14, 2009
Subgrantee Application Workshops	May 2009
DHS Award to California	June 17, 2009*
CalEMA Release of Suballocations	June 26, 2009*
Subgrantee Applications Due to CalEMA	July 17, 2009*
Subgrantee Awards (45 days from DHS award)	August 3, 2009*
Subgrantee Performance Period Begins	August 3, 2009*
Subgrantee Performance Period Ends	March 31, 2012
Final Requests for Reimbursement Due	April 10, 2012
SAA Performance Period Ends	June 30, 2012

\* Date approximate depending on DHS award date

## APPENDIX B- GOVERNING BODY RESOLUTION

### SAMPLE RESOLUTION

BE IT RESOLVED BY THE \_\_\_\_\_  
(Governing Body)

OF THE \_\_\_\_\_ THAT  
(Name of Applicant)

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_,  
(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and sub-granted through the State of California.

Passed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

#### ***Certification***

I, \_\_\_\_\_, duly appointed and  
(Name)

\_\_\_\_\_. Of the \_\_\_\_\_  
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by the

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
(Official Position)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

## APPENDIX B- GOVERNING BODY RESOLUTION

### INSTRUCTIONS

**Purpose** The purpose of the Governing Body Resolution is to appoint individuals to act on behalf of the governing body and the applicant.

**Authorized Agent(s)** The Governing Body Resolution allows for the appointment of individuals or positions. For each person or position appointed by the governing body, submit the following information, with the resolution, to the state on the applicant's letterhead:

- |  |   |
|--|---|
| <input type="checkbox"/> Jurisdiction  | <input type="checkbox"/> Telephone      |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax #          |
| <input type="checkbox"/> Name          | <input type="checkbox"/> Cell Phone #   |
| <input type="checkbox"/> Title         | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address       |   |
| <input type="checkbox"/> City          |   |
| <input type="checkbox"/> Zip Code      |   |

**Authorized Agent Changes**

- If the Governing Body Resolution identified Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to the State.
- If the Governing Body Resolution identifies the Authorized Agent by name, a new Resolution is needed when any changes are made. The information list above must be submitted with the new Resolution.

## APPENDIX C- STATE AGENCY FORMS

### SIGNATURE AUTHORITY

AS THE \_\_\_\_\_  
(Secretary/Director / President / Chancellor)

OF THE \_\_\_\_\_  
(Name of State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named state organization, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and sub-granted through the California Emergency Management Agency.

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_, OR  
(Name or Title of Authorized Agent)

\_\_\_\_\_,  
(Name or Title of Authorized Agent)

Signed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
(Signature)

## APPENDIX C- STATE AGENCY FORMS

### FY 2009 PROJECT NARRATIVE

**Applicant** (state organization)\_\_\_\_\_

*NOTE: Complete a separate Project Description for each proposed project*

**Project Title:**

**State Strategy Goal and Objective Supported by the Project:**\_\_\_\_\_

**Indicate the State Priority Supported by the Project:**

- ☐ **Interoperable Communications**
- ☐ **Catastrophic Planning**
- ☐ **Medical Surge**
- ☐ **Citizen Preparedness and Participation**
- ☐ **Mass Prophylaxis**
- ☐ **Critical Infrastructure Protection**
- ☐ **Training for First Responders**
- ☐ **Food and Agriculture Safety**

**Provide a detailed description of the proposed project and how it supports the state priority indicated.**

**For construction and/or renovation projects, provide the following additional information:**

- A description and location of the facility;
- A description of the vulnerability assessment and the date the assessment was conducted (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP FY09

Please check the appropriate box:

- ☐ Our agency currently has spending authority for the requested funds.
- ☐ Our agency does not currently have spending authority for the requested funds. See below for explanation:

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## APPENDIX D- FY09 SUBGRANTEE APPLICATION CHECKLIST

Subgrantee: \_\_\_\_\_ FIPS #: \_\_\_\_\_

CalEMA Regional Rep: \_\_\_\_\_

### OPERATIONAL/URBAN AREAS

- \_\_\_\_\_ Approval Authority & POC Information
- \_\_\_\_\_ Approval Authority Body form
- \_\_\_\_\_ Governing Body Resolution (Certified)
- \_\_\_\_\_ Grant Assurances (Signed Originals)
  
- \_\_\_\_\_ Financial Management Forms Workbook
  - \_\_\_\_\_ Application Cover Sheet
  - \_\_\_\_\_ Grant Management Roster
  - \_\_\_\_\_ Project Description
  - \_\_\_\_\_ Project Ledger
  - \_\_\_\_\_ Equipment Inventory – Ledger
  - \_\_\_\_\_ Training Roster
  - \_\_\_\_\_ Exercise Roster
  - \_\_\_\_\_ Planning Ledger
  - \_\_\_\_\_ Authorized Agent Form
  
- \_\_\_\_\_ Narrative Attachments:
  - \_\_\_\_\_ TLO Roster
  - \_\_\_\_\_ CAL JRIES Access
  - \_\_\_\_\_ 25% Preparedness Planning
  - \_\_\_\_\_ 25% Law Enforcement
  - \_\_\_\_\_ Training w/AAR/Exercise Detail
  - \_\_\_\_\_ Special Needs Populations

### STATE AGENCIES

- \_\_\_\_\_ Signature Authority – Authorized Agent
- \_\_\_\_\_ Project Narrative Form
- \_\_\_\_\_ Grant Assurances (Signed Originals)
  
- \_\_\_\_\_ Financial Management Forms Workbook
  - \_\_\_\_\_ Application Cover Sheet
  - \_\_\_\_\_ Grant Management Roster
  - \_\_\_\_\_ Project Description
  - \_\_\_\_\_ Project Ledger
  - \_\_\_\_\_ Equipment Inventory – Ledger
  - \_\_\_\_\_ Training Roster
  - \_\_\_\_\_ Exercise Roster
  - \_\_\_\_\_ Planning Ledger
  - \_\_\_\_\_ Authorized Agent Form
  
- \_\_\_\_\_ Narrative Attachments:
  - \_\_\_\_\_ TLO Roster
  - \_\_\_\_\_ CAL JRIES Access
  - \_\_\_\_\_ 25% Preparedness Planning
  - \_\_\_\_\_ 25% Law Enforcement
  - \_\_\_\_\_ Training w/AAR/Exercise Detail
  - \_\_\_\_\_ Special Needs Populations